



Quasi-parabolic analytic transformations of \mathbb{C}^n

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Abstract

Let F be an analytic transformation of \mathbb{C}^n , with the origin O as a quasi-parabolic fixed point. We will associate an invariant, order $\nu(F)$, to F and study the local dynamics of F when it has a non-degenerate characteristic direction $[v]$ and is dynamically separating in the direction $[v]$. We show that for such F there exist at least $\nu(F) - 1$ parabolic curves tangent to $[v]$ at the origin. We also study a non-dynamically-separating example in details.

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1. Introduction

Let F be a germ of analytic transformation of (\mathbb{C}^n, O) . We are interested in understanding the dynamics near O of F for which the spectrum of the differential dF_O contains 1. The most studied case is when F is tangent to the identity, that is $dF_O = id$. (See [7,8,17] and [2] for precise results and [1] and [3] for more information.) When dF_O is not the identity, but it still has 1 as eigenvalue, two cases have received some attention. The first is the semi-attractive case, where the spectrum of dF_O contains 1 and λ_j 's with $|\lambda_j| < 1$. (See [5,6,10,12,15,16].) In this paper, we study the case when O is a quasi-parabolic fixed point for F , that is the spectrum of dF_O contains 1 and λ_j 's with $|\lambda_j| = 1$ and $\lambda_j \neq 1$. This case has been studied by several authors [4,11,13]. In [11], Pöschel proved the existence of an F -invariant complex manifold through O tangent to the eigenspace of λ_j 's on which F is holomorphically linearizable when λ_j 's satisfy some Brjuno condition. Using similar ideas, the author [13] showed the existence of “Siegel cylinders” for certain quasi-parabolic germs when λ_j 's satisfy some Brjuno condition. In [4], Bracci and Molino studied quasi-parabolic germs in \mathbb{C}^2 and showed the existence of “parabolic curves” at O tangent to the eigenspace of 1 for germs they called “dynamically separating.” We are going to study quasi-parabolic germs in \mathbb{C}^n ($n > 1$), using ideas of Hakim [7] and Bracci and Molino [4]. Before we state our results, let us recall some definitions and known results.

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Definition 1.1. A *parabolic curve* for F , a germ of analytic transformation of (\mathbf{C}^n, O) , is an injective holomorphic map $\varphi: \Delta \rightarrow \mathbf{C}^n$ satisfying the following properties:

- (i) Δ is a simply connected domain in \mathbf{C} with $0 \in \partial\Delta$;
- (ii) φ is continuous on $\partial\Delta$ and $\varphi(0) = O$;
- (iii) $\varphi(\Delta)$ is invariant under F and $F^k(\varphi(\zeta)) \rightarrow O$ as $k \rightarrow \infty$ for any $\zeta \in \Delta$.

Furthermore, if $[\varphi(\zeta)] \rightarrow [v] \in \mathbf{P}^{n-1}$ as $\zeta \rightarrow 0$ (where $[\cdot]$ denotes the canonical projection of $\mathbf{C}^n \setminus \{O\}$ onto \mathbf{P}^{n-1}), we say that φ is *tangent to* $[v]$ at the origin.

Definition 1.2. Let F be a germ of analytic transformation of (\mathbf{C}^n, O) tangent to the identity. Let $F = id + F_2 + F_3 + \cdots$ be the homogeneous expansion of F in series of homogeneous polynomials. Then the *order* of F is $v(F) = \min\{j \mid F_j \neq 0\}$ and a *characteristic direction* for F is a vector $[v] \in \mathbf{P}^{n-1}$ such that there is $\lambda \in \mathbf{C}$ so that $F_{v(F)}(v) = \lambda v$. If $\lambda \neq 0$ we say that $[v]$ is *non-degenerate*, otherwise it is *degenerate*.

In [7], Hakim proved the following theorem.

Theorem 1.3. Let F be a germ of analytic transformation of (\mathbf{C}^n, O) tangent to the identity of order $v(F)$. Then for every non-degenerate characteristic direction $[v]$ of F there exist at least $v(F) - 1$ parabolic curves tangent to $[v]$ at the origin.

In [4], Bracci and Molino generalized the notion of *order* to the quasi-parabolic case in \mathbf{C}^2 and proved the following theorem. (See [4] for precise definitions.)

Theorem 1.4. Let F be a germ of analytic transformation of (\mathbf{C}^2, O) , with the origin as a quasi-parabolic fixed point. If F is of order $v(F)$ and is dynamically separating then there exist at least $v(F) - 1$ parabolic curves tangent to the eigenspace of 1 at the origin.

In this paper, we will generalize the notion of *order*, *characteristic direction* and *dynamically separating* to the quasi-parabolic case in any dimension, and extend the results of Hakim [7] and Bracci and Molino [4].

Our main result is the following

Theorem 1.5. Let F be a germ of analytic transformation of (\mathbf{C}^n, O) , with the origin as a quasi-parabolic fixed point. If F is of order $v(F)$ and is dynamically separating in a non-degenerate characteristic direction $[v]$, then there exist at least $v(F) - 1$ parabolic curves tangent to $[v]$ at the origin.

In Section 2, we make several definitions necessary for our study and choose suitable coordinates to get a simpler expression for F . We prove Theorem 1.5 in Section 3. Finally, we give a detailed analysis of an interesting example in Section 4.

2. Fundamental invariants

Let F be a germ of analytic transformation of (\mathbf{C}^n, O) , with the origin as a quasi-parabolic fixed point. Assume that dF_O is diagonalizable and $\text{Spec}(dF_O) = \{1, \dots, 1, \lambda_1, \dots, \lambda_m\}$, with $|\lambda_j| = 1$ and $\lambda_j \neq 1$. Let $\Lambda = \text{diag}(\lambda_1, \dots, \lambda_m)$. Then in some system of local coordinates, we can write F as

$$\begin{cases} x_1 = x + p_2(x, y, z) + p_3(x, y, z) + \cdots, \\ y_1 = y + q_2(x, y, z) + q_3(x, y, z) + \cdots, \\ z_1 = \Lambda z + r_2(x, y, z) + r_3(x, y, z) + \cdots, \end{cases} \quad (2.1)$$

where $y = (y_1, \dots, y_l)^t$ with $l = n - m - 1$, $z = (z_1, \dots, z_m)^t$ and p_i, q_i and r_i are vectors of homogeneous polynomials of degree i .

Set $j = (j_1, \dots, j_l)$ with j_i being non-negative integers, and $|j| = j_1 + \dots + j_l$. Similarly, set $k = (k_1, \dots, k_m)$ with k_i being non-negative integers, and $|k| = k_1 + \dots + k_m$. Using multi-index notation, we write $y^j = y_1^{j_1} \dots y_l^{j_l}$ and $z^k = z_1^{k_1} \dots z_m^{k_m}$. First, we need the following simple lemma.

Lemma 2.1. *Let F be given by (2.1). Then for any given integer $\mu > 1$, there exists a local holomorphic change of coordinates such that there are no terms $x^i y^j$ with $i + |j| \leq \mu$ in the expression of z_1 .*

Proof. Denote by $Z_{i,j}$ the first non-zero vector of coefficients of terms $x^i y^j$ with $i + |j| \leq \mu$ in the expression of z_1 . To get rid of such terms, consider the transformation

$$\begin{cases} x = X, \\ y = Y, \\ z = Z + x^i y^j S, \end{cases} \quad (2.2)$$

with $S = -(\Lambda - I_m)^{-1} Z_{i,j}$, where I_m is the identity matrix. Proceeding this way, we are done. \square

Definition 2.2. Let F be as in (2.1). Let ν (respectively, μ) be the least of $i + |j| > 1$ for terms $x^i y^j$ in the expression of x_1 and y_1 (respectively, z_1). If $\nu < \infty$ and $\mu \geq \nu$, then we say that F is *ultra-resonant*, and that the *order* of F is $\nu(F) := \nu$. If $\mu = \infty$ (without assuming anything on ν), then we say that F is *asymptotically ultra-resonant*.

We explicitly remark that if F is not the identity when restricted to $\{z = 0\}$ then (using Lemma 2.1) we can find a local holomorphic change of coordinates putting F in ultra-resonant form.

The following lemma shows that the order $\nu(F)$ is well defined. The proof is essentially the same as for [4, Lemma 2.5], which we include for completeness.

Lemma 2.3. *Let F and G be two analytic transformations in ultra-resonant form. If F is conjugated to G , then $\nu(F) = \nu(G)$.*

Proof. Writing $w = (x, y)$ and using multi-index notation, we can express F as

$$\begin{cases} w_1 = w + A_{1\nu}(w) + B_1(w, z) + H_1(w, z), \\ z_1 = \Lambda z + A_{2\mu}(w, z) + B_2(w, z) + H_2(w, z). \end{cases} \quad (2.3)$$

Here, $A_{1\nu}(w)$ contains terms w^ν with $|\nu| = \nu(F)$, $A_{2\mu}(w, z)$ contains terms $w^\mu z^k$ with $|k| = 1$ and $1 \leq |\mu| = \mu(F) := \min\{|\mu| : w^\mu z^k \text{ in } z_1 \text{ with } |k| = 1\}$, $B_1(w, z)$ contains terms $w^j z^k$ with $|k| \geq 1$ and $2 \leq |j| + |k| \leq \nu(F)$, $B_2(w, z)$ contains terms with $w^j z^k$ with $|k| \geq 2$ and $|j| + |k| \leq \mu(F) + 1$, $H_1(w, z)$ contains terms $w^j z^k$ with $|j| + |k| > \nu(F)$ and $H_2(w, z)$ contains terms $w^j z^k$ with $|j| > \nu(F)$ and $w^j z^k$ with $|k| \geq 1$ and $|j| + |k| > \mu(F) + 1$.

Similarly, we can express G as

$$\begin{cases} \tilde{w}_1 = w + \tilde{A}_{1\tilde{\nu}}(w) + \tilde{B}_1(w, z) + \tilde{H}_1(w, z), \\ \tilde{z}_1 = \Lambda z + \tilde{A}_{2\tilde{\mu}}(w, z) + \tilde{B}_2(w, z) + \tilde{H}_2(w, z). \end{cases} \quad (2.4)$$

If Ψ is the transformation which conjugates F to G , then it is easy to see that Ψ must be of the following form

$$\begin{cases} w'_1 = Cw + \psi_1(w, z), \\ z'_1 = Dz + \psi_2(w, z), \end{cases} \quad (2.5)$$

where C is an invertible $(n - m, n - m)$ matrix and D is an invertible (m, m) matrix.

From $F \circ \Psi = \Psi \circ G$, we obtain

$$\psi_1(w, z) + A_{1\nu}(w'_1) + B_1(w'_1, z'_1) + H_1(w'_1, z'_1) = \psi_1(\tilde{w}_1, \tilde{z}_1) + C[\tilde{A}_{1\tilde{\nu}}(w) + \tilde{B}_1(w, z) + \tilde{H}_1(w, z)], \quad (2.6)$$

and

$$\begin{aligned} \Lambda \psi_2(w, z) + A_{2\mu}(w'_1, z'_1) + B_2(w'_1, z'_1) + H_2(w'_1, z'_1) \\ = \psi_2(\tilde{w}_1, \tilde{z}_1) + D[\tilde{A}_{2\tilde{\mu}}(w, z) + \tilde{B}_2(w, z) + \tilde{H}_2(w, z)]. \end{aligned} \quad (2.7)$$

Set $v_h = \min\{|j|: w^j \text{ in } \psi_h(w, z)\}$, for $h = 1, 2$. Since $\Lambda\psi_2(w, z) - \psi_2(\tilde{w}_1, \tilde{z}_1)$ contains terms w^j with $|j| = v_h$ and it is easy to check that terms w^j in other terms in (2.7) have order $|j| \geq \min\{v(F), v(G), v_2 + 1\}$, we get from (2.7) that

$$v_2 \geq \min\{v(F), v(G)\}.$$

Combining this with (2.6), we get

$$\psi_1(\tilde{w}_1, \tilde{z}_1) - \psi_1(w, z) = A_{1v}(w'_1) - C\tilde{A}_{1\tilde{v}}(w) + R(w, z),$$

where terms w^j in $R(w, z)$ have orders $|j| > \min\{v(F), v(G)\}$. Writing $\psi_1(w, z) = \sum_{|j|+|k| \geq 2} \psi_1^{j,k} w^j z^k$, one readily checks that terms w^j in $\psi_1(\tilde{w}_1, \tilde{z}_1) - \psi_1(w, z)$ have orders $|j| > v(G)$. Since $A_{1v}(w'_1)$ contains terms w^j with $|j| = v(F)$ and $\tilde{A}_{1\tilde{v}}(w)$ contains terms w^j with $|j| = v(G)$, we see that $v(F) = v(G)$.

Note that the above argument is still valid if $v(F) = \infty$ or $v(G) = \infty$. \square

Following Hakim [7], we make the following definition.

Definition 2.4. Let F be as in (2.1) and assume that F is ultra-resonant with $v(F) < \infty$. A *characteristic direction* for F is a vector $[v] = [v_1 : \cdots : v_n] \in \mathbf{P}^{n-1}$, with $v_i = 0$ for $l+1 < i \leq n$, such that $F_{v(F)}(v) = \lambda v$ for some $\lambda \in \mathbf{C}$. If $\lambda \neq 0$, we say that $[v]$ is *non-degenerate*, otherwise it is *degenerate*.

Using this definition, we have the following proposition, whose proof is similar to that of [4, Proposition 1.3].

Proposition 2.5. Let F be as in (2.1). Then there exists an invariant nonsingular complex manifold M of dimension $n - m$ for F passing through O and tangent to the eigenspace of 1 if and only if F is analytically conjugated to an asymptotic ultra-resonant form. Moreover in this case, if $v(F) = \infty$ then F pointwise fixes M , while if $v(F) < \infty$ and $[v]$ is a non-degenerate characteristic direction for F then there exist at least $v(F) - 1$ parabolic curves for F at O contained in M and tangent to $[v]$.

Proof. If F is analytically conjugated to an asymptotic ultra-resonant form $G = (G^x, G^y, G^z)$, then $G^z(x, y, 0) = 0$, i.e. $\{z = 0\}$ is invariant by G . For the converse, if there exists an invariant nonsingular complex manifold M of dimension $n - m$ for F passing through O and tangent to the eigenspace of 1, then we can choose local coordinates such that $M = \{z = 0\}$. In this system of coordinates F is of the form (F^x, F^y, F^z) such that $F^z(x, y, 0) = 0$ as M is invariant by F , which implies that F is asymptotically ultra-resonant.

Now assume that F is asymptotically ultra-resonant, and thus $M = \{z = 0\}$ is invariant by F . Then F restricted to M , denoted by F_M , is an analytic transformation of \mathbf{C}^{n-m} tangent to the identity. By the definition of $v(F)$ and Lemma 2.3, we have $v(F_M) = v(F)$, where $v(F_M)$ is the order of F_M defined in Definition 1.2. Thus if $v(F) = \infty$, then $F_M(w) = w$, i.e. M is pointwise fixed by F . If $v(F) < \infty$, then it is easy to see that $[v] = [1 : v_0 : 0]$ is a non-degenerate characteristic direction for F if and only if $[1 : v_0]$ is a non-degenerate characteristic direction for F_M in the sense of Definition 1.2. Therefore we can conclude using Theorem 1.3. \square

Remark 2.6. In this paper, we are only interested in the case $v(F) < \infty$. When $v(F) = \infty$, the dynamics of F may be very different (see [13]).

Before we go further, we need the following lemma.

Lemma 2.7. Let F be as in (2.1). Write $\Lambda = \text{diag}(\Lambda_1, \dots, \Lambda_r)$, where $\Lambda_i = \lambda_{(i)} I_{m_i}$ with $\lambda_{(i)}$'s mutually different and $m_1 + \cdots + m_r = m$. Similarly, write $z = (z_{(1)}, \dots, z_{(r)})^t$ with $z_{(i)} = (z_{(i),1}, \dots, z_{(i),m_i})$ and $z_1 = (z_{1,(1)}, \dots, z_{1,(r)})^t$ with $z_{1,(i)} = (z_{1,(i),1}, \dots, z_{1,(i),m_i})$. Then for any given integer $\mu > 1$ and any $1 \leq p \leq r$, there exists a local holomorphic change of coordinates such that in the expression of $z_{1,(p)}$ there are no terms $x^i y^j z^k$ with $2 \leq i + |j| + |k| \leq \mu$, $\lambda^k \neq \lambda_{(p)}$ and z^k not containing powers of $z_{(p),s}$ for any $1 \leq s \leq m_p$.

Proof. For fixed $1 \leq p \leq r$ and $1 \leq s \leq m_p$, denote by $Z_{i,j,k}^{p,s}$ the non-zero coefficient of a term $x^i y^j z^k$ with the least $i + |j| + |k|$ such that $2 \leq i + |j| + |k| \leq \mu$, $\lambda^k \neq \lambda_{(p)}$ and z^k not containing powers of $z_{(p),s}$ for any $1 \leq s \leq m_p$ in

the expression of $z_{1,(p),s}$. To get rid of such a term, consider the transformation

$$\begin{cases} x = X, \\ y = Y, \\ z_{(p')} = Z_{(p')}, \quad p' \neq p, \\ z_{(p),\tilde{s}} = Z_{(p),\tilde{s}}, \quad \tilde{s} \neq s, \\ z_{(p),s} = Z_{(p),s} + x^i y^j z^k S, \end{cases} \quad (2.8)$$

with $S = -(\lambda_{(p)} - \lambda^k)^{-1} Z_{i,j,k}^{p,s}$. Note that such a transformation only acts on that term and on terms of higher order. Proceeding this way, we are done. \square

If $[v]$ is a non-degenerate characteristic direction, we can choose coordinates (x, y, z) in $\mathbf{C}^n = \mathbf{C} \times \mathbf{C}^l \times \mathbf{C}^m$, such that $[v] = [1 : v_0 : 0]$ and

$$F_{v(F)}([v]) = F_{v(F)}([1 : v_0 : 0]) = [p_{v(F)}([1 : v_0 : 0]) : q_{v(F)}([1 : v_0 : 0]) : 0]$$

with $p_{v(F)}([1 : v_0 : 0]) \neq 0$. By a further linear change of coordinates, we can assume that $[v] = [1 : 0 : 0]$. Performing changes of coordinates as in Lemmas 2.1 and 2.7, we can write F in the following form

$$\begin{cases} x_1 = x + p_{v(F)}(x, y, 0) + P(x, y, z) + O(v(F) + 1), \\ y_1 = y + q_{v(F)}(x, y, 0) + Q(x, y, z) + O(v(F) + 1), \\ z_1 = \Lambda z + R(x, y, z) + O(v(F) + 1), \end{cases} \quad (2.9)$$

with $P(x, y, z)$, $Q(x, y, z)$ and $R(x, y, z)$ analytic in \mathbf{C} , \mathbf{C}^l and \mathbf{C}^m respectively such that

- (i) terms $x^i y^j z^k$ in $P(x, y, z)$, $Q(x, y, z)$ and $R(x, y, z)$ satisfy $2 \leq i + |j| + |k| \leq v(F)$ and $|k| \geq 1$;
- (ii) writing $R(x, y, z) = (R_1(x, y, z), \dots, R_r(x, y, z))$ as in Lemma 2.7, there are no terms $x^i y^j z_{(q),s}^k$ in $R_p(x, y, z)$ for any $1 \leq p \leq r$ and $q \neq p$.

Now we can make the following definition.

Definition 2.8. Let F be as in (2.9). We say that F is *dynamically separating* in the characteristic direction $[v] = [1 : 0 : 0]$ if $R_j(x, y, z)$ contains no terms $x^i z_{(j),s}^k$ with $i < v(F) - 1$ and $1 \leq s \leq m_j$ for any $1 \leq j \leq r$.

Remark 2.9. The above definition is needed (in our approach) because terms $x^i z_{(j),s}^k$ with $i < v(F) - 1$ in $R_j(x, y, z)$ are persistent under blow-ups. Though we do not know what happens in general if F is not dynamically separating in a characteristic direction, we will give a detailed study of such an example in Section 4.

The next lemma shows that the notion of dynamically separating is well defined (cf. [4, Lemma 2.5]).

Lemma 2.10. Let F and G be two analytic transformations in ultra-resonant form and with the same characteristic direction $[v]$. If F is conjugated to G , then F is dynamically separating in the characteristic direction $[v]$ if and only if G has the same property.

Proof. Without loss of generality, we can assume that both F and G are in the form (2.9) and $[v] = [1 : 0 : 0]$. Assuming that F is dynamically separating in the characteristic direction $[v]$, we need to show that G has the same property.

By Lemma 2.3, we have $v(F) = v(G) = v < \infty$. We can write F in the form

$$\begin{cases} x_1 = x + A_1(x, y) + B_1(x, y, z) + H_1(x, y, z), \\ y_1 = y + A_2(x, y) + B_2(x, y, z) + H_2(x, y, z), \\ z_1 = \Lambda z + A_3(x, z) + B_3(x, y, z) + H_3(x, y, z), \end{cases} \quad (2.10)$$

where $A_1(x, y)$ and $A_2(x, y)$ contain terms $x^i y^j$ with $i + |j| = v$ and $A_2(1, 0) = 0$, $A_3(x, z)$ contains terms $x^i z^k$ with $i = v - 1$ and $|k| = 1$, $B_h(x, y, z)$ and $H_h(x, y, z)$ contain other terms $x^i y^j z^k$ with $i + |j| + |k| \leq v$ and $i + |j| + |k| > v$ respectively, with $B_h(x, y, 0) = 0$, for $h = 1, 2, 3$.

Similarly, we can express G as

$$\begin{cases} \tilde{x}_1 = x + \tilde{A}_1(x, y) + \tilde{B}_1(x, y, z) + \tilde{H}_1(x, y, z), \\ \tilde{y}_1 = y + \tilde{A}_2(x, y) + \tilde{B}_2(x, y, z) + \tilde{H}_2(x, y, z), \\ \tilde{z}_1 = \Lambda z + \tilde{A}_3(x, z) + \tilde{B}_3(x, y, z) + \tilde{H}_3(x, y, z). \end{cases} \quad (2.11)$$

We need to show that $\tilde{A}_3(x, z)$ does not contain terms $x^i z^k$ with $i < \nu - 1$ and $|k| = 1$. More precisely, if we write $\tilde{A}_3(x, z) = (\tilde{A}_3^1, \dots, \tilde{A}_3^r)$ as in Lemma 2.7, then we need to show that \tilde{A}_3^p does not contain terms $x^i z_{(p),s}$ with $i < \nu - 1$ for any $1 \leq p \leq r$.

If Ψ is the transformation which conjugates F to G and preserves the direction $[v]$, then it is easy to see that Ψ must be of the following form

$$\begin{cases} x'_1 = ax + \psi_1(x, y, z), \\ y'_1 = Cy + \psi_2(x, y, z), \\ z'_1 = Dz + \psi_3(x, y, z), \end{cases} \quad (2.12)$$

where $a \neq 0$, C is an invertible (l, l) matrix and $D = \text{diag}(D_1, \dots, D_r)$ with D_p being an invertible (m_p, m_p) matrix for $1 \leq p \leq r$ (as in Lemma 2.7).

From $F \circ \Psi = \Psi \circ G$, we obtain

$$\begin{aligned} \Lambda \psi_3(x, y, z) + A_3(x'_1, z'_1) + B_3(x'_1, y'_1, z'_1) + H_3(x'_1, y'_1, z'_1) \\ = \psi_3(\tilde{x}_1, \tilde{y}_1, \tilde{z}_1) + D[\tilde{A}_3(x, z) + \tilde{B}_3(x, y, z) + \tilde{H}_3(x, y, z)]. \end{aligned} \quad (2.13)$$

Therefore,

$$\psi_3(\tilde{x}_1, \tilde{y}_1, \tilde{z}_1) - \Lambda \psi_3(x, y, z) = A_3(x'_1, z'_1) - D\tilde{A}_3(x, z) + R(x, y, z), \quad (2.14)$$

where $R(x, y, z) = (R_1(x, y, z), \dots, R_r(x, y, z))$ does not contain terms $x^i z^k$ with $|k| = 1$ and $i < \nu$. Writing $\psi_3(x, y, z) = (\psi_3^1(x, y, z), \dots, \psi_3^r(x, y, z))$, the above equation becomes

$$\psi_3^p(\tilde{x}_1, \tilde{y}_1, \tilde{z}_1) - \Lambda_p \psi_3^p(x, y, z) = A_3^p(x'_1, z'_1) - D_p \tilde{A}_3^p(x, z) + R_p(x, y, z), \quad 1 \leq p \leq r. \quad (2.15)$$

From the proof of Lemma 2.3, we know that $\psi_3(x, y, z)$ does not contain terms $x^i y^j$ with $i + |j| < \nu$. Writing $\psi_3(x, y, z) = \sum_{i+|j|+|k| \geq 2} \psi_3^{i,j,k} x^i y^j z^k$, one readily checks that

$$\psi_3^p(\tilde{x}_1, \tilde{y}_1, \tilde{z}_1) = \psi_3^p(x, y, \Lambda z) + R'_p(x, y, z), \quad (2.16)$$

where $R'_p(x, y, z)$ does not contain terms $x^i z_{(p),s}$ with $i < b + 1$, where $b = \min\{i: x^i z_{(p),s} \text{ in } \tilde{A}_3^p(x, z), 1 \leq p \leq r\}$.

Assume that $b < \nu - 1$. Then putting (2.16) into (2.15) we get

$$\psi_3^p(x, y, \Lambda z) - \Lambda_p \psi_3^p(x, y, z) = A_3^p(x'_1, z'_1) - D_p \tilde{A}_3^p(x, z) + \tilde{R}_p(x, y, z), \quad 1 \leq p \leq r, \quad (2.17)$$

where $\tilde{R}_p(x, y, z)$ does not contain terms $x^i z_{(p),s}$ with $i < b + 1$. But note that $\psi_3^p(x, y, \Lambda z) - \Lambda_p \psi_3^p(x, y, z)$ does not contain terms $x^i z_{(p),s}$ for any $1 \leq p \leq r$ and $1 \leq s \leq m_p$. Since $A_3^p(x'_1, z'_1)$ does not contain terms $x^i z_{(p),s}$ with $i < \nu - 1$, we get a contradiction for at least one of the r equations in (2.17). Therefore we must have $b \geq \nu - 1$. \square

Now let F be as in (2.9) and assume that F is dynamically separating in the characteristic direction $[v] = [1 : 0 : 0]$. For simplicity, we will write ν for $\nu(F)$. Denote by $r_\nu(x, 0, z)$ the terms $x^i z^k$ with $i = \nu - 1$ and $|k| = 1$ in $R(x, y, z)$. Let us make the blow-up $y = xu$, with $u \in \mathbb{C}^l$ and $z = xv$, with $v \in \mathbb{C}^m$. Then F lifts to a map of the form

$$\begin{cases} x_1 = x + x^\nu p_\nu(1, u, 0) + \tilde{P}(x, u, v) + O(\nu + 1), \\ u_1 = u + x^{\nu-1} s(u) + \tilde{Q}(x, u, v) + O(\nu + 1) + O(x^\nu), \\ v_1 = \Lambda v + x^{\nu-1} t(u, v) + \tilde{R}(x, u, v) + O(\nu + 1) + O(x^\nu), \end{cases} \quad (2.18)$$

with $s(u) = q_\nu(1, u, 0) - p_\nu(1, u, 0)u$ and $t(u, v) = r_\nu(1, 0, v) - p_\nu(1, u, 0)\Lambda v$. Using the Taylor expansion and changing x into $[-p_\nu(1, 0, 0)]^{-1/(\nu-1)}x$, we can write the above equation as

$$\begin{cases} x_1 = x - x^\nu + \tilde{P}(x, u, v) + O(x^{\nu+1}, x^\nu \|w\|), \\ u_1 = [I_l - x^{\nu-1} \tilde{A}]u + \tilde{Q}(x, u, v) + O(x^{\nu-1} \|w\|^2, x^\nu \|w\|, x^\nu), \\ v_1 = [\Lambda - x^{\nu-1} \tilde{B}]v + \tilde{R}(x, u, v) + O(x^{\nu-1} \|w\|^2, x^\nu \|w\|, x^\nu), \end{cases} \quad (2.19)$$

where $w = (u, v)$, $\tilde{A} = s'(0)/p_v(1, 0, 0)$ and $\tilde{B} = t_v(0, 0)/p_v(1, 0, 0)$. Note that $s(0) = 0$, $t(0, 0) = 0$ and $t_u(0, 0) = 0$. Here \tilde{P} , \tilde{Q} and \tilde{R} have the same properties as P , Q and R in (2.9).

Remark 2.11. By Lemma 2.7 and the definition of \tilde{B} , it is easy to see that $\tilde{B} = \text{diag}(\tilde{B}_1, \dots, \tilde{B}_r)$ with \tilde{B}_p being an invertible (m_p, m_p) matrix for $1 \leq p \leq r$ (as in Lemma 2.7).

Remark 2.12. By Definition 2.4, a transformation which fixes the origin and preserves the characteristic direction $[1 : 0 : 0]$ sends $\{z = 0\}$ and $\{y = 0\}$ into themselves. By the definition of \tilde{A} and \tilde{B} , one readily checks that they are only affected by the linear part of such a transformation. We have then to inspect the effect of transformations of the type

$$\begin{cases} x = X + O(\|Y, Z\|), \\ y = LY, \\ z = MZ, \end{cases} \quad (2.20)$$

where L is an invertible (l, l) matrix and M is an invertible (m, m) matrix. It is easy to check that such a transformation will transform Eq. (2.19) to the form

$$\begin{cases} X_1 = X - X^v + \tilde{P}(X, U, V) + O(X^{v+1}, X^v \|W\|), \\ U_1 = L^{-1}[I_l - X^{v-1}\tilde{A}]LU + \tilde{Q}(X, U, V) + O(X^{v-1}\|W\|^2, X^v\|W\|, X^v), \\ V_1 = M^{-1}[\Lambda - X^{v-1}\tilde{B}]MV + \tilde{R}(X, U, V) + O(X^{v-1}\|W\|^2, X^v\|W\|, X^v), \end{cases} \quad (2.21)$$

with $U = Y/X$, $V = Z/X$ and $W = (U, V)$. Therefore, one can assume that in Eq. (2.19) both \tilde{A} and $\Lambda^{-1}\tilde{B}$ are in Jordan canonical forms.

The following simple lemma is similar to Lemma 2.1.

Lemma 2.13. *Let F be as in (2.19). Then for any given integer $\mu > 1$ and any $1 \leq p \leq l$, there exists a local holomorphic change of coordinates such that in the expression of $u_{1,p}$ there are no terms $x^i u^j v^k$ with $2 \leq i + |j| + |k| \leq \mu$, $\lambda^k \neq 1$ and u^j not containing powers of u_p .*

Proof. For a fixed $1 \leq p \leq l$, denote by $U_{i,j,k}^p$ the non-zero coefficient of a term $x^i u^j v^k$ with the least $i + |j| + |k|$ such that $2 \leq i + |j| + |k| \leq \mu$, $\lambda^k \neq 1$ and u^j not containing powers of u_p in the expression of $u_{1,p}$. To get rid of such a term, consider the transformation

$$\begin{cases} x = X, \\ u_{p'} = U_{p'}, \quad p' \neq p, \\ u_p = U_p + x^i u^j v^k S, \\ v = V, \end{cases} \quad (2.22)$$

with $S = -(1 - \lambda^k)^{-1} U_{i,j,k}^p$. Note that such a transformation only acts on that term and on terms of higher order. Proceeding this way, we are done. \square

We can now make the last simplification in the next proposition.

Proposition 2.14. *Let F be as in (2.19). For any $\mu \geq v + 2$, one can perform a finite number of blow-ups and changes of coordinates such that the resulting map is given by*

$$\begin{cases} x_1 = x - x^v + O(x^v \|w\|, x^{v+1} \log x), \\ u_1 = (I_l - x^{v-1}A)u + O(x^{v-1}\|w\|^2, x^v \log x \|w\|, x^\mu (\log x)^{q_\mu}), \\ v_1 = (\Lambda - x^{v-1}B)v + O(x^{v-1}\|w\|^2, x^v \log x \|w\|, x^\mu (\log x)^{q_\mu}), \end{cases} \quad (2.23)$$

where q_μ is a fixed positive integer and both A and $\Lambda^{-1}B$ are in Jordan canonical forms.

Proof. First, we need to get rid of all the terms in \tilde{P} , \tilde{Q} and \tilde{R} . To do so, we apply Lemmas 2.7 and 2.13 first. Then, if necessary, we make enough number of blow-ups. Note that the order $i + |j| + |k|$ of a term $x^i u^j v^k$ in \tilde{P} , \tilde{Q} and \tilde{R} will increase at least by one after each blow-up, since F is dynamically separating in the characteristic direction $[1 : 0 : 0]$.

Second, we need to push pure x terms to higher order. For this, we apply Lemma 2.1 and [7, Proposition 3.5].

Let d be the least number of blow-ups needed, which is determined by the least of $|j| + |k|$ of terms $x^i u^j v^k$ in \tilde{P} and $|j| + |k| - 1$ of terms $x^i u^j v^k$ in \tilde{Q} and \tilde{R} (after applying Lemmas 2.7 and 2.13). Then in the new system of coordinates, the transformation F takes the form (2.23), with $A = \tilde{A} - dI_l$ and $B = \tilde{B} - d\Lambda$. By Remark 2.12, we can assume without loss of generality that both A and $\Lambda^{-1}B$ are in Jordan canonical forms. \square

Remark 2.15. When applying [7, Proposition 3.5], there may be functions of $\log x$ involved. While this seems formal at this point, it will not cause any problem in the future as we will work in a region where $\log x$ is well defined.

Remark 2.16. From Remark 2.12, we know that the classes of similarity of \tilde{A} and \tilde{B} are invariant under changes of coordinates. It is also easy to see that the number of blow-ups d in the above proposition is only affected by the linear part of a transformation and that a transformation as in (2.20) does not change d . Hence, the proof of the above proposition shows that the eigenvalues of A and $\Lambda^{-1}B$ are invariants associated to the characteristic direction $[1 : 0 : 0]$ of F .

3. Parabolic curves

We prove Theorem 1.5 in this section. By the discussion in the previous section, we will work with analytic transformations of the form (2.23).

Set $N = \text{diag}(I_l, \Lambda)$, $M = \text{diag}(A, B)$ and $L = N^{-1}M$. Let $\{\beta_i\}_{1 \leq i \leq n-1}$ be the eigenvalues of L and let $\beta = \max_i \{\text{Re } \beta_i\}$. Choose μ in (2.23) such that $\mu > \nu + \beta$. Let us rewrite (2.23) in the following form

$$\begin{cases} x_1 = f(x, w) = x - x^\nu + O(x^\nu \|w\|, x^{\nu+1} \log x), \\ w_1 = \Psi(x, w) = (N - x^{\nu-1}M)w + O(x^{\nu-1} \|w\|^2, x^\nu \log x \|w\|, x^\mu (\log x)^{q_\mu}). \end{cases} \quad (3.1)$$

Let $D_\rho = \{x \in \mathbb{C} : |x^{\nu-1} - \rho| < \rho\}$, with $\rho > 0$ small. Let B_ρ be the Banach space of functions $\varphi(\cdot) = x^2 h(\cdot)$ with h holomorphic bounded from D_ρ to \mathbb{C}^{n-1} , endowed with the norm $\|\varphi\|_\rho = \|h\|_\infty$. For $\varphi \in B_\rho$, let $f_\varphi(x) = f(x, \varphi(x))$. The classical results of Fatou imply that, for ρ small enough, f_φ maps each component of D_ρ into itself and that we have $|x_n| = |f_\varphi^n(x)| = O(1/n^{1/(v-1)})$. If we find $\varphi \in B_\rho$ such that

$$\varphi(f(x, \varphi(x))) = \Psi(x, \varphi(x)), \quad (3.2)$$

with $\lim_{x \rightarrow 0} \varphi(x) = 0$, then $(x, \varphi(x))$ restricted to each connected component of D_ρ will yield a parabolic curve for F tangent to $[v] = [1 : 0 : 0]$ (via blowing-down).

Write $x^L = \exp(L \log x)$, which is well defined on each connected component of D_ρ . By (3.1), we have

$$x_1^{-L} = x^{-L} (I + x^{\nu-1}L + O(x^{\nu-1} \|w\|, x^\nu \log x)).$$

Therefore,

$$\begin{aligned} x_1^{-L} N^{-1} w_1 &= x^{-L} (I + x^{\nu-1}L + O(x^{\nu-1} \|w\|, x^\nu \log x)) N^{-1} \\ &\quad \times ((N - x^{\nu-1}M)w + O(x^{\nu-1} \|w\|^2, x^\nu \log x \|w\|, x^\mu (\log x)^{q_\mu})) \\ &= x^{-L} w + O(x^{\nu-1} \|w\|^2, x^\nu \log x \|w\|, x^\mu (\log x)^{q_\mu}). \end{aligned} \quad (3.3)$$

We need the following lemma.

Lemma 3.1. *The equality $x_i^{-L} N^{-1} = N^{-1} x_i^{-L}$ holds for all $i \geq 1$.*

Proof. Using the notion of Lemma 2.7, we can write $N = \text{diag}(I_l, \Lambda_1, \dots, \Lambda_r)$. By Remark 2.11 and Proposition 2.14, we can write $M = \text{diag}(A, B_1, \dots, B_r)$, with B_p being an invertible (m_p, m_p) matrix for $1 \leq p \leq r$

(as in Lemma 2.7). Therefore $L = \text{diag}(A, L_1, \dots, L_r)$ with $L_p = \Lambda_p^{-1} B_p$, $1 \leq p \leq r$. Hence $x_i^{-L} = \text{diag}(x_i^{-A}, x_i^{-L_1}, \dots, x_i^{-L_r})$ for all $i \geq 1$. Since $\Lambda_p = \lambda_{(p)} I_{m_p}$ for $1 \leq p \leq r$, the equality follows. \square

By the above lemma, we can write Eq. (3.3) as

$$N^{-1} x_1^{-L} w_1 = x^{-L} w + O(x^{v-1} \|w\|^2, x^v \log x \|w\|, x^\mu (\log x)^{q_\mu}).$$

Define

$$H(x, w) := x^L (x^{-L} w - N^{-1} x_1^{-L} w_1) = w - x^L N^{-1} x_1^{-L} w_1. \quad (3.4)$$

Then

$$H(x, w) = O(x^{v-1} \|w\|^2, x^v \log x \|w\|, x^\mu (\log x)^{q_\mu}),$$

and the functional equation (3.2) is equivalent to

$$x^{-L} \varphi(x) - N^{-1} x_1^{-L} \varphi(x_1) = x^{-L} H(x, \varphi(x)). \quad (3.5)$$

Let T be the operator on B_ρ defined by

$$T\varphi(x) = x^L \sum_{i=0}^{\infty} N^{-i} x_i^{-L} H(x_i, \varphi(x_i)). \quad (3.6)$$

One can show exactly as in [7] that the series converges normally, if φ is chosen so that $x^{v-1} \|\varphi\|^2$ and $x^v \log x \|\varphi\|$ are $o(x^\mu (\log x)^{q_\mu})$, and that $T\varphi \in B_\rho$. Moreover, the argument of Hakim carries over to our case, as the spectrum of dF_O lies in the unit circle, and shows that T restricted to a certain closed subset of B_ρ is continuous and contracting. Hence T has a fixed point. It is clear that such a fixed point is a solution to (3.5), thus to (3.2).

4. A non-dynamically-separating example

As suggested in [4], we study the analytic transformation of \mathbf{C}^2 of the form

$$\begin{cases} z_1 = z - z^3, \\ w_1 = \lambda w - azw + z^{d+1}, \end{cases} \quad (4.1)$$

where $\lambda = e^{i\theta}$, $a = |a|e^{i\phi} \neq 0$ and $d \geq 3$. Note that $[1 : 0]$ is a degenerate characteristic direction for this map. If $\lambda \neq 1$, then the map is quasi-parabolic and *non-dynamically-separating* along $[1 : 0]$.

Remark 4.1. The reason that we need $d \geq 3$ will be clear from what follows. On the other hand, we can always make changes of coordinates to get rid of terms z^{d+1} with $d = 1, 2$ in the expression of w_1 . To get rid of the term bz^{d+1} , we make the change of coordinates $(z = \tilde{z}, w = \tilde{w} + (b/a)\tilde{z}^d)$ if $\lambda = 1$, and $(z = \tilde{z}, w = \tilde{w} + (b/(1-\lambda))\tilde{z}^d)$ if $\lambda \neq 1$.

We blow-up the origin O . In the new coordinates $(z = z, w = zu)$, the map takes the form

$$\begin{cases} z_1 = z - z^3, \\ u_1 = \frac{\lambda - az}{1 - z^2} u + \frac{z^d}{1 - z^2}. \end{cases} \quad (4.2)$$

It is easy to check that

$$u_n = \prod_{j=0}^{n-1} \frac{\lambda - az_j}{1 - z_j^2} u + \sum_{i=0}^{n-1} \prod_{j=i+1}^{n-1} \frac{\lambda - az_j}{1 - z_j^2} \frac{z_i^d}{1 - z_i^2}. \quad (4.3)$$

By the classical theory of Fatou, we have $z_n^2 = O(1/n)$ for n large. Therefore $z_n^2 = b_n \cdot 1/n \cdot e^{i\psi_n}$ where $b_n > 0$ goes to 1 and ψ_n goes to 0 as n goes to infinity. For $\delta > 0$ small, let $D_1 = \{z: |z^2 - \delta| < \delta, \text{Re } z > 0\}$ and $D_2 = \{z: |z^2 - \delta| < \delta, \text{Re } z < 0\}$. Write $c_j = \frac{\lambda - az_j}{1 - z_j^2}$, then for $z \in D_1$ we have $z_j \in D_1$ for all $j \geq 1$ and

$$\begin{aligned}
|c_j| &= \frac{|\lambda - az_j|}{|1 - z_j^2|} = \frac{|e^{i\theta} - |a|e^{i\phi}(\sqrt{b_j}/\sqrt{j})e^{i\psi_j/2}|}{|1 - (b_j/j)e^{i\psi_j}|} \\
&= \frac{|e^{i(\theta-\phi-\psi_j/2)} - |a|\sqrt{b_j}/\sqrt{j}|}{|e^{-i\psi_j} - b_j/j|} \\
&= \frac{|\cos(\theta - \phi - \psi_j/2) - |a|\sqrt{b_j}/\sqrt{j} + i\sin(\theta - \phi - \psi_j/2)|}{|\cos(\psi_j) - b_j/j - i\sin(\psi_j)|} \\
&= \frac{[1 - 2|a|(\sqrt{b_j}/\sqrt{j})\cos(\theta - \phi - \psi_j/2) + |a|^2b_j/j]^{1/2}}{[1 - 2(b_j/j)\cos(\psi_j) + b_j^2/j^2]^{1/2}}, \tag{4.4}
\end{aligned}$$

and similarly for $z \in D_2$ we have $z_j \in D_2$ for all $j \geq 1$ and

$$|c_j| = \frac{[1 + 2|a|(\sqrt{b_j}/\sqrt{j})\cos(\theta - \phi - \psi_j/2) + |a|^2b_j/j]^{1/2}}{[1 - 2(b_j/j)\cos(\psi_j) + b_j^2/j^2]^{1/2}}. \tag{4.5}$$

There are two different cases.

In the first case, we have $\operatorname{Re}(\lambda \cdot \bar{a}) > 0$, i.e. $\cos(\theta - \phi) > 0$. Then for small $\epsilon > 0$ we can choose j large enough such that $\cos(\theta - \phi - \psi_j/2) > \epsilon$. For $z \in D_1$, we get from (4.4) that

$$\begin{aligned}
|c_j| &< \frac{(1 - 2|a|\epsilon\sqrt{b_j}/\sqrt{j} + |a|^2b_j/j)^{1/2}}{(1 - 2b_j/j)^{1/2}} \\
&= (1 - 2|a|\epsilon\sqrt{b_j}/\sqrt{j} + |a|^2b_j/j)^{1/2}(1 + 2b_j/j + \dots)^{1/2} \\
&< (1 - |a|\epsilon/2 \cdot 1/j)^{1/2}
\end{aligned}$$

for j large. Since $1 - |a|\epsilon/2 \cdot 1/j = O((1 - 1/j)^{|a|\epsilon/2})$ and $\prod_{j=i+1}^n (1 - 1/j) = i/n$, we have $\prod_{j=i+1}^n c_j = O((i/n)^{|a|\epsilon/4})$. Set $\alpha = d/2 - |a|\epsilon/4$. We can assume that $\alpha > 1$ since $d \geq 3$ and ϵ is small. Since

$$\sum_{i=1}^n \frac{1}{i^\alpha} < 1 + \int_1^n x^{-\alpha} dx = \frac{\alpha}{\alpha-1} - \frac{1}{\alpha-1}n^{1-\alpha} < \frac{\alpha}{\alpha-1},$$

we get from (4.3) that $u_{n+1} = O(1/n^{|a|\epsilon/4})u + O(1/n^{|a|\epsilon/4})$. Hence u_n goes to 0 as n goes to infinity. Therefore there is a two-dimensional parabolic domain over D_1 tangent to the direction $[1 : 0]$.

For $z \in D_2$, we get from (4.5) that

$$|c_j| > (1 + 2|a|\epsilon\sqrt{b_j}/\sqrt{j})^{1/2} > (1 + |a|\epsilon \cdot 1/j)^{1/2}$$

for j large. Since $1 + |a|\epsilon \cdot 1/j = O((1 + 1/j)^{|a|\epsilon})$ and $\prod_{j=n}^i (1 + 1/j) = (i + 1)/n$, we have $(\prod_{j=n}^i c_j)^{-1} = O((n/i)^{|a|\epsilon/2})$. Choose

$$u = - \sum_{i=0}^{\infty} \left(\prod_{j=0}^i \frac{\lambda - az_j}{1 - z_j^2} \right)^{-1} \frac{z_i^d}{1 - z_i^2}, \tag{4.6}$$

then from (4.3) we get

$$u_n = - \sum_{i=n}^{\infty} \left(\prod_{j=n}^i c_j \right)^{-1} \frac{z_i^d}{1 - z_i^2}.$$

Since

$$\sum_{i=n+1}^{\infty} \frac{1}{i^{d/2+|a|\epsilon/2}} < \int_n^{\infty} x^{-d/2-|a|\epsilon/2} dx = \frac{(d/2 + |a|\epsilon/2 - 1)^{-1}}{n^{d/2+|a|\epsilon/2-1}},$$

we have $u_{n+1} = O(1/n^{d/2-1})$. Hence u_n goes to 0 as n goes to infinity. One readily checks that the series in (4.6) converges and that $u(z)$ is invariant, i.e. $u(z_1) = u_1(z)$. Therefore (4.6) gives a parabolic curve over D_2 tangent to the direction $[1 : 0]$.

In the second case, we have $\operatorname{Re}(\lambda \cdot \bar{a}) < 0$. Then arguing as above, we conclude that there is a parabolic curve defined by (4.6) over D_1 and a two-dimensional parabolic domain over D_2 , both tangent to the direction $[1 : 0]$.

Remark 4.2. As already noted, when $\lambda \neq 1$, the map (4.1) is quasi-parabolic and non-dynamically-separating along $[1 : 0]$. The above discussion shows that it is still possible for the existence of parabolic curves in this case. On the other hand, if $\lambda = 1$, then the map (4.1) is tangent to the identity with $[1 : 0]$ being a degenerate characteristic direction. In [2], Abate introduced an invariant, called *residual index*, and showed the existence of parabolic curves when the index associated to a characteristic direction does not belong to \mathbf{Q}^+ . Later in [9], Molino generalized this result to the case when the index associated to a characteristic direction is non-zero, using ideas from both [2] and [7]. However, the index associated to the characteristic direction $[1 : 0]$ for our example is zero. Therefore, the parabolic curves we found above are “new” even in the tangent to the identity case.

Remark 4.3. While in the non-degenerate case for a map tangent to the identity or the dynamically separating case for a quasi-parabolic map, the parabolic manifolds are of the same dimension, the above example shows that this might not be true in the degenerate case for a map tangent to the identity or the non-dynamically-separating case for a quasi-parabolic map. We suspect that this phenomenon of *symmetry break-down* is universal in such cases.

Remark 4.4. In a forthcoming paper [14], we are going to extend the results of Hakim in [8] to the quasi-parabolic case.

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